

Atty Dkt No. 2300-16065
PP16065.003

#6

COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

FORM PTO-1449 (Modified)
LIST OF PATENTS AND PUBLICATIONS
FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT
(Use several sheets if necessary)
Sheet 1 of 5

In the Application of Beverly L. DAVIDSON et al. Confirmation No. 4232
Serial No.: 09/866,532 Art Unit: ~~Unassigned~~ **1632**
Filed: May 25, 2001 Examiner: Unassigned
Title: TRANSDUCING NEURAL CELLS USING LENTIVIRUS VECTORS

U.S. PATENT DOCUMENTS

Exam. Init.	Ref. Desig.	Document No.	Date	Name	Class	Sub Class	Filing Date
	AA-1						

FOREIGN PATENT DOCUMENTS

Exam. Init.	Ref. Desig.	Document No.	Publication Date	Country or Patent Office	Class	Sub Class	Translation YES	Translation NO
<i>Am2</i>	AB-1	WO 99/15641	April 1, 1999	PCT				
<i>Am2</i>	AC-1	WO 99/36511	July 22, 1999	PCT				

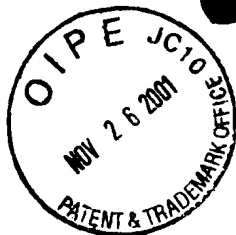
OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)

Exam. Init.	Ref. Desig.	Description
<i>Am2</i>	AD-1	Barlett et al., "Selective and Rapid Uptake of Adeno-Associated Virus Type 2 in Brain," <i>Human Gene Therapy</i> 9:1181-1186 (1998)
<i>Am2</i>	AE-1	Benedetti et al., "Gene Therapy of Experimental Brain Tumors Using Neural Progenitor Cells," <i>Nature Medicine</i> 6(4):447-450 (2000)
<i>Am2</i>	AF-1	Blömer et al., "Highly Efficient and sustained Gene Transfer in Adult Neurons with a Lentivirus Vector," <i>Journal of Virology</i> 71(9):6641-6649 (1997)

Examiner: *Anne-Marie Falk*

Date Considered: *3/17/03*

EXAMINER: Initial if citation considered whether or not the citation conforms with MPEP609. Draw a line through the citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Atty Dkt No. 2300-16065
PP16065.003

COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

FORM PTO-1449 (Modified)
LIST OF PATENTS AND PUBLICATIONS
FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT
(Use several sheets if necessary)
Sheet 2 of 5

In the Application of Beverly L. DAVIDSON et al. Confirmation No. 4232

Serial No.: 09/866,532 Art Unit: ~~Unassigned~~ **1632**

Filed: May 25, 2001 Examiner: Unassigned

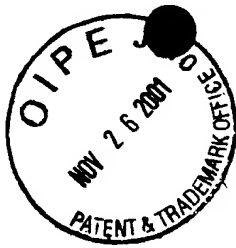
Title: TRANSDUCING NEURAL CELLS USING LENTIVIRUS VECTORS

Exam. Init.	Ref. Desig.	Description
<i>Am2</i>	AG-1	Case et al., "Stable Transduction of Quiescent CD34 ⁺ CD38 ⁻ Human Hematopoietic Cells by HIV-1-Based Lentiviral Vectors," <i>Proc. Natl. Acad. Sci. U.S.A.</i> <u>96</u> :2988-2993 (1999)
<i> </i>	AH-1	Chamberlin et al., "Recombinant Adeno-Associated Virus Vector: Use for Transgene Expression and Anterograde Tract in the CNS," <i>Brain Research</i> <u>793</u> :169-175 (1998)
<i> </i>	AI-1	Cone and Mulligan, "High-Efficiency Gene Transfer Into Mammalian Cells: Generation of Helper-Free Recombinant Retrovirus with Broad Mammalian Host Range," <i>PNAS Proc. Natl. Acad. Sci. U.S.A.</i> <u>81</u> :6349 (1984)
<i> </i>	AJ-1	Davidson et al., "Recombinant Adeno-Associated Virus Type 2, 4, and 5 Vectors: Transduction of Variant Cell Types and Regions in the Mammalian Central Nervous System," <i>Proc. Natl. Acad. Sci. U.S.A.</i> <u>97</u> :3428-3432 (2000)
<i> </i>	AK-1	Davidson et al., "A Model System in <i>In Vivo</i> Gene Transfer Into the Central Nervous System Using an Adenoviral Vector," <i>Nature Genetics</i> <u>3</u> :219-233 (1993)
<i> </i>	AL-1	During et al., " <i>In Vivo</i> Expression of Therapeutic Human Genes for Dopamine Production the Caudates of MPTP-Treated Monkeys Using an AAV Vector," <i>Gene Therapy</i> <u>5</u> :820-827 (1998)
<i> </i>	AM-1	Evans et al., "Human Cord Blood CD34 ⁺ CD38 ⁻ Cell Transduction Via Lentivirus-Based Gene Transfer Vector," <i>Human Gene Therapy</i> <u>19</u> :1479-1489 (1999)
<i>Am2</i>	AN-1	Ghadge et al., "CNS Gene Delivery By Retrograde Transport of Recombinant Replication-Defective Adenoviruses," <i>Gene Therapy</i> <u>2</u> :132-137 (1995)

Examiner: *Anne-Marie Falk*

Date Considered: *3/17/03*

EXAMINER: Initial if citation considered whether or not the citation conforms with MPEP609. Draw a line through the citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Atty Dkt No. 2300-16065
PP16065.003

COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

FORM PTO-1449 (Modified)
LIST OF PATENTS AND PUBLICATIONS
FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT
(Use several sheets if necessary)
Sheet 3 of 5

In the Application of Beverly L. DAVIDSON et al. Confirmation No. 4232

Serial No.: 09/866,532 Art Unit: ~~Unassigned~~ 1632

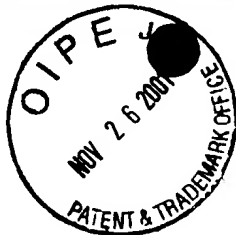
Filed: May 25, 2001 Examiner: Unassigned

Title: TRANSDUCING NEURAL CELLS USING LENTIVIRUS VECTORS

Exam. Init.	Ref. Desig.	Description
<u>Ama</u>	AO-1	Herrlinger et al., "Neural Precursor Cells for Delivery of Replication Conditional HSV-1 Vectors to Intracerebral Gliomas," <i>Molecular Therapy</i> <u>1</u> (4):347-357(2000)
	AP-1	Johnston et al., "Minimum Requirements for Efficient Transduction of Dividing and Nondividing Cells by Feline Immunodeficiency Virus Vectors," <i>Journal of Virology</i> <u>73</u> (6):4991-5000 (1999)
	AQ-1	Kordower et al., "Lentiviral Gene Transfer to the Nonhuman Primate Brain," <i>Experimental Neurology</i> <u>160</u> :1-16 (1999)
	AR-1	Lorenzetti et al., "Repeat Instability and Motor Incoordination in Mice With a Targeted Expanded CAG Repeat in the <i>Sca1</i> Locus," <i>Human Molecular Genetics</i> <u>9</u> (5):779-785 (2000)
	AS-1	Mann et al., "Construction of a Retrovirus Packaging Mutant and Its Use to Produce Helper-Free Defective Retrovirus," <i>Cell</i> <u>33</u> :153-159 (1983)
	AT-1	Mastrangeli et al., "In Vivo Adenovirus-Mediated Gene Transfer to the Central Nervous System," <i>Clinical Research</i> <u>41</u> :223A Abstract (1993)
	AU-1	McCown et al., "Differential and Persistent Expression Patterns of CNS Gene Transfer by an Adeno-Associated Virus (AAV) Vector," <i>Brain Research</i> <u>713</u> :99-107 (1996)
	AV-1	Miller, A. Dusty, "Retrovirus Packaging Cells," <i>Human Gene Therapy</i> <u>1</u> :5-14 (1990)
<u>Ama</u>	AW-1	Miyoshi et al., "Transduction of Human CD34 ⁺ Cells That Mediate Long-Term Engraftment of NOD/SCID Mice by HIV Vectors," <i>Science</i> <u>283</u> :682-686 (1999)

Examiner: Anne-Marie Falk Date Considered: 3/17/03

EXAMINER: Initial if citation considered whether or not the citation conforms with MPEP609. Draw a line through the citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Atty Dkt No. 2300-16065
PP16065.003

COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

FORM PTO-1449 (Modified)
LIST OF PATENTS AND PUBLICATIONS
FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT
(Use several sheets if necessary)
Sheet 4 of 5

In the Application of Beverly L. DAVIDSON et al. Confirmation No. 4232

Serial No.: 09/866,532

Art Unit: ~~Unassigned~~ 1632

Filed: May 25, 2001

Examiner: Unassigned

Title: TRANSDUCING NEURAL CELLS USING LENTIVIRUS VECTORS

Exam. Init.	Ref. Desig.	Description
<u>Am2</u>	AX-1	Naldini et al., "In Vivo Gene Delivery and Stable Transduction of Nondividing Cells by a Lentiviral Vector," <i>Science</i> <u>272</u> :263-267 (1996)
	AY-1	Naldini, L., "In Vivo Gene Delivery by Lentiviral Vectors," <i>Thrombosis Haemostasis</i> <u>82</u> (2):552-554 (1999)
	AZ-1	Poeschla et al., "Efficient Transduction of Nondividing Human Cells by Feline Immunodeficiency Virus Lentiviral Vectors," <i>Nature Medicine</i> <u>4</u> (3):354-357 (1998)
	BA-1	Snyder et al., "Multipotent Neural Precursors can Differentiate Toward Replacement of Neurons Undergoing Targeted Apoptotic Degeneration in Adult Mouse Neocortex," <i>Proc. Natl. Acad. Sci. U.S.A.</i> <u>94</u> :11663-11668 (1997)
	BB-1	Snyder et al., "Multipotent Neural Cell Lines Can Engraft and Participate in Development of Mouse Cerebellum," <i>Cell</i> <u>68</u> :33-51 (1992)
	BC-1	Snyder et al., "Neural Progenitor Cell Engraftment Corrects Lysosomal Storage Throughout the MPS VII Mouse Brain," <i>Nature</i> <u>374</u> :367-370 (1995)
	BD-1	Sutton et al., "Transduction of Hman Progenitor Hematopoietic Stem Cells by Human Immunodeficiency Virus Type 1-Based Vector is Cell Cycle Dependent," <i>Journal of Virology</i> <u>73</u> (5):3649-3660 (1999)
<u>Am2</u>	BE-1	Terashima et al., "Retrograde and Antergrade Labeling of Cerebellar Afferent Projection by the Injection of Recombinant Adenoviral Vectors into the Mouse Cerebellar Cortex," <i>Anal. Embryol.</i> <u>196</u> :363-382 (1997)

Examiner: Ann-Marie Falk

Date Considered: 3/17/03

EXAMINER: Initial if citation considered whether or not the citation conforms with MPEP609. Draw a line through the citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Atty Dkt No. 2300-16065
PP16065.003

COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

FORM PTO-1449 (Modified)
LIST OF PATENTS AND PUBLICATIONS
FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT
(Use several sheets if necessary)
Sheet 5 of 5

In the Application of Beverly L. DAVIDSON et al. Confirmation No. 4232

Serial No.: 09/866,532 Art Unit: ~~Unassigned~~ **1632**

Filed: May 25, 2001 Examiner: Unassigned

Title: TRANSDUCING NEURAL CELLS USING LENTIVIRUS VECTORS

Exam. Init.	Ref. Desig.	Description
<i>Amd</i>	BF-1	Uchida et al., "HIV, But Not Murine Leukemia Virus, Vectors Mediate High Efficiency Gene Transfer Into Freshly Isolated G ₀ /G ₁ Human Hematopoietic Stem Cells," <i>Proc. Natl. Acad. Sci. U.S.A.</i> <u>95</u> :11939-11944 (1998)
<i> </i>	BG-1	Vig et al., "Relationship Between Ataxin-1 Nuclear Inclusions and Purkinje Cell Specific Proteins in SCA-1 Transgenic Mice," <i>Journal of Neurological Science</i> <u>174</u> :100-110 (2000)
<i> </i>	BH-1	Wagner et al., "Induction of Midbrain Dopaminergic Phenotype in <i>Nurr1</i> -Overexpressing Neural Stem Cells by Type 1 Astrocytes," <i>Nat. Biotechnol.</i> <u>17</u> :653-659 (1999)
<i>↓</i>	BI-1	Xiao et al., "Gene Transfer by Adeno-Associated Virus Vectors into the Central Nervous System," <i>Experimental Neurology</i> <u>144</u> :113-124 (1997)
<i>Amd</i>	BJ-1	Zufferey et al., "Multiply Attenuated Lentiviral Vector Achieves Efficient Gene Delivery <i>In Vivo</i> ," <i>Nature Biotechnology</i> <u>15</u> :871-875 (1997)

Examiner: *Anne-Marie Falk*

Date Considered: *3/17/03*

EXAMINER: Initial if citation considered whether or not the citation conforms with MPEP609. Draw a line through the citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Atty Dkt No. 2300-16065
PP16065.003

#7

COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

RECEIVED

AUG 30 2002

TECH CENTER 1600/2900

FORM PTO-1449 (Modified)
LIST OF PATENTS AND PUBLICATIONS
FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT
(Use several sheets if necessary)
Sheet 1 of 2

In the Application of Beverly L. DAVIDSON et al.

Confirmation No. 4232

Serial No.: 09/866,532

Art Unit: ~~Unassigned~~ 1632

Filed: May 25, 2001

Examiner: Unassigned

Title: TRANSDUCING NEURAL CELLS USING LENTIVIRUS VECTORS

U.S. PATENT DOCUMENTS

Exam. Init.	Ref. Desig.	Document No.	Date	Name	Class	Sub Class	Filing Date
	AA-2						

FOREIGN PATENT DOCUMENTS

Exam. Init.	Ref. Desig.	Document No.	Publication Date	Country or Patent Office	Class	Sub Class	Translation YES	Translation NO
Am2	AB-2	WO 00/66759	November 9, 2000	PCT				
↓	AC-2	WO 99/31251	June 24, 1999	PCT				
↓	AD-2	WO 98/12314	March 26, 1998	PCT				
↓	AE-2	WO 98/39463	September 11, 1998	PCT				
Am2	AF-2	WO 97/12622	April 10, 1997	PCT				

OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)

Exam. Init.	Ref. Desig.	Description
Am2	AG-2	Mitrophanous K A et al., "Stable Gene Transfer to the Nervous System Using a Non-Primate Lentiviral Vector", <i>Gene Therapy</i> 6(11):1808-1818 (1999)

Examiner: Anne-Marie Zalk

Date Considered: 3/17/03

EXAMINER: Initial if citation considered whether or not the citation conforms with MPEP609. Draw a line through the citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Atty Dkt No. 2300-16065
PP16065.003

COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

RECEIVED

AUG 30 2002

TECH CENTER 1600/2900

FORM PTO-1449 (Modified)
LIST OF PATENTS AND PUBLICATIONS
FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT
(Use several sheets if necessary)
Sheet 2 of 2

In the Application of Beverly L. DAVIDSON et al.

Confirmation No. 4232

Serial No.: 09/866,532

Art Unit: ~~Unassigned~~ **1632**

Filed: May 25, 2001

Examiner: Unassigned

Title: TRANSDUCING NEURAL CELLS USING LENTIVIRUS VECTORS

Exam. Init.	Ref. Desig.	Description
<i>Amz</i>	AH-2	Naldini et al., "Efficient Transfer, Integration, and Sustained Long-Term Expression of the Transgene in Adult Rat Brains Injected With a Lentiviral Vector", <i>Proc. Natl. Acad. Sci. U.S.A.</i> <u>93</u> (21):11382-11388 (1996)

Examiner: *Anne-Marie Falk*

Date Considered: *3/17/03*

EXAMINER: Initial if citation considered whether or not the citation conforms with MPEP609. Draw a line through the citation if not in conformance and not considered. Include copy of this form with next communication to applicant.